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3/19/04  
Wm

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as FIRST CLASS MAIL in an envelope addressed to: Mail Stop Petition, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on January 21, 2004.

January 21, 2004  
Date

*Carrie Reddick*  
Signature: Carrie Reddick

**PATENT**

**Attorney Docket No. ULT-005-2C2P**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application	)	<u>PATENT APPLICATION</u>
	)	
Inventor(s): Malcolm G. Smith, Sr.	)	
	)	Art Unit: 2876
Application No.: 09/663,659	)	
	)	Examiner: Nowlin, April A.
Filed: 9/15/2000	)	
	)	
Title DATA STORAGE CARD HAVING A	)	
NON-MAGNETIC SUBSTRATE AND DATA	)	
SURFACE REGION AND METHOD FOR	)	
USING SAME	)	

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy of each listed document is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP § 609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56.

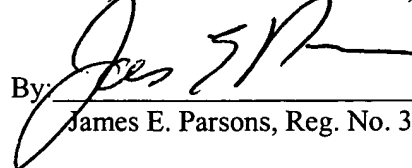
01/28/2004 SSANDARA 00000023 09663659

01 FC:2453 665.00 DA  
02 FC:1806 180.00 DA

- ☐ This statement qualifies under 37 C.F.R. § 1.97, subsection (b) because (check all that apply):
- ☐ (1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)  
-- OR --
  - ☐ (2) It is being filed within 3 months of entry of a national stage  
-- OR --
  - ☐ (3) It is being filed before the mail date of the first Office Action on the merits.  
-- OR --
  - ☐ (4) It is being filed before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114
- ☒ 37 C.F.R. § 1.97(c). If this statement is being filed after the period specified in § 1.97(b), but before the mailing date of the earlier of a final office action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application, then:
- ☐ a certification as specified in § 1.97(e) is provided below; **or**
  - ☒ a fee of \$180.00 as set forth in § 1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☐ 37 C.F.R. § 1.97(d). If this statement is being filed after the period specified in § 1.97(c), but on or before payment of the issue fee, then:
- A. a certification as specified in § 1.97(e) is completed below; **and**
  - B. a fee of \$180.00 as set forth in § 1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☒ *Fee Authorization.* The Commissioner is hereby authorized to charge the above-referenced fees of \$180 and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 50-0574 (Docket No. ULT-005-2C2P).

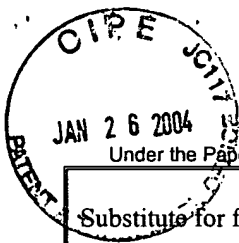
Respectfully submitted,

BEVER, HOFFMAN & HARMS, LLP

By:   
James E. Parsons, Reg. No. 34,691

Dated: January 21, 2004

Telephone: (408) 451-5906  
Customer No. 22888



Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT***(Use as many sheets as necessary)*

Application Number 09/663,659

Filing Date 9/15/2000

First Named Inventor: Malcolm G. Smith, Sr.

Examiner: Nowlin, April A. GROUP: 2876

Sheet 1 of 14 Attorney Docket Number ULT-005-2C2P

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cited No. <sup>1</sup>	Document Number Number - Kind Code <sup>2(f) known</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	B001	US- 1,756,547	04/1930	Hansen	
	B002	US-3,677,843	7/17/1972	Reiss	
	B003	US-3,838,252	9/24/1974	Hynes et al.	
	B004	US-3,864,755	2/1975	Hargis	
	B005	US-4,058,839	11/1977	Darjany, John C.	
	B006	US-4,076,125	2/28/1978	Ohsaki et al.	
	B007	US-4,100,689	7/1978	Broune	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Cntry Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5 (f known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Figures Appear	T <sup>6</sup>
	B008	EP 0194675	9/1986			
	B009	WO 9210485	12/1992			
	B010	JP 10041118	4/1998			
	B011	JP 10144391 A	5/1998	Kanda		

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

(One Page) Advertising Brochure, Iomega Klik! PC Card Drive (40 MB Disk) Iomega Corporation, 1999
Gooch et al. "A High Resolution Flying Magnetic Disk Recording System With Zero Reproduce Spacing Loss" Pages 4545-4554, IEEE Transactions on Magnetis, Volume 27, No. 6, November 1991
One (1) Page Advertising Brochure, SysTECH, Wallet Size CDROM, Copyright 1999
Three (3) Pages / Gold CD Mini ROM (Picture), Back/Front Packaging for CD Mini ROM AOL, America On Line

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JAN 26 2004

PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
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Application Number 09/663,659

Filing Date 9/15/2000

First Named Inventor: Malcolm G. Smith, Sr.

Examiner: Nowlin, April A. GROUP: 2876

Sheet

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of

14

Attorney Docket Number

ULT-005-2C2P

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	B012	US-4,104,682	8/1/1978	Lehner et al.	
	B013	US-4,141,400	2/27/1979	Mangan	
	B014	US-4,197,988	4/15/1980	Moss et al.	
	B015	US-4,209,811	6/1/1980	Blazevic	
	B016	US-4,277,809	7/7/1981	Fisher et al.	
	B017	US-4,302,523	11/1/1981	Audran et al.	
	B018	US-4,318,136	3/2/1982	Jeffers	
	B019	US-4,403,138	9/1/1983	Battarel et al.	
	B020	US-4,450,955	5/29/1984	Featherston	
	B021	US-4,503,125	3/1/1985	Nelson et al.	
	B022	US-4,518,627	5/1/1985	Foley et al.	
	B023	US-4,530,016	7/16/1985	Sawazaki	
	B024	US-4,535,369	8/13/1985	Sawazaki	
	B025	US-4,581,523	4/1/1986	Okuno	

**FOREIGN PATENT DOCUMENTS**

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

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of

14

Attorney Docket Number

ULT-005-2C2P

Application Number

09/663,659

Filing Date

9/15/2000

First Named Inventor:

Malcolm G. Smith, Sr.

Examiner: Nowlin, April A.

GROUP: 2876

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	B026	US-4,585,929	4/29/1986	Brown et al.	
	B027	US-4,592,042	5/1/1986	Lemelson et al.	
	B028	US-4,598,196	7/1/1986	Pierce et al.	
	B029	US-4,609,812	9/2/1986	Drexler	
	B030	US-4,612,436	9/16/1986	Okada	
	B031	US-4,620,727	11/4/1986	Stockburger et al.	
	B032	US-4,659,915	4/1/1987	Flies	
	B033	US-4,672,182	6/1/1987	Hirokawa	
	B034	US-4,683,371	7/1/1987	Drexler	
	B035	US-4,687,712	8/18/1987	Sugita et al.	
	B036	US-4,701,601	10/20/1987	Francini et al.	
	B037	US-4,707,593	11/1/1987	Murata et al.	
	B038	US-4,718,697	1/1/1988	Berardus van Amelsfort	
	B039	US-4,731,645	3/1/1988	Parmentier et al.	

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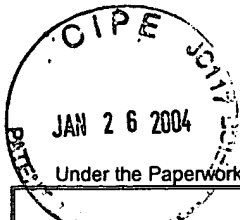
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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				Application Number	09/663,659
				Filing Date	9/15/2000
				First Named Inventor:	Malcolm G. Smith, Sr.
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Sheet	4	of	14	Attorney Docket Number	ULT-005-2C2P

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	B040	US-4,754,128	6/1/1988	Takeda et al.	
	B041	US-4,756,967	7/1/1988	Hashimoto et al.	
	B042	US-4,774,618	9/27/1988	Raviv	
	B043	US-4,777,540	10/11/1988	McCoy	
	B044	US-4,780,604	10/1988	Hasegawa et al.	
	B045	US-4,786,564	11/22/1988	Chen et al.	
	B046	US-4,791,283	12/13/1988	Burkhardt	
	B047	US-4,812,633	3/1989	Vogelgesang et al.	
	B048	US-4,826,772	05/1989	Meathrel	
	B049	US-4,833,310	05/23/1989	Shimamura et al.	
	B050	US-4,851,610	07/25/1989	LeBlanc et al.	
	B051	US-4,868,373	09/1989	Opheij et al.	
	B052	US-4,877,488	10/1989	Cody et al.	
	B053	US-4,889,755	12/1989	Charbonneau	

**FOREIGN PATENT DOCUMENTS**

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	B054	US-4,897,533	01/1990	Lyszczarz	
	B055	US-4,931,623	6/5/1990	Nakamura et al.	
	B056	US-4,937,438	6/26/1990	Warwick et al.	
	B057	US-4,978,401	12/18/1990	Bonomi	
	B058	US-4,998,009	03/1991	Iijima et al.	
	B059	US-5,036,430	07/1991	Hills	
	B060	US-5,049,728	09/1991	Rovin	
	B061	US-5,099,111	03/1992	Takakura et al.	
	B062	US-5,107,099	04/1992	Smith	
	B063	US-5,172,282	12/1992	Ghose	
	B064	US-5,206,494	04/1993	Metzger	
	B065	US-5,227,212	07/1993	Ahlert et al.	
	B066	US-5,309,388	5/3/1994	Maruyama et al.	
	B067	US-5,311,003	5/10/1994	Saroya	

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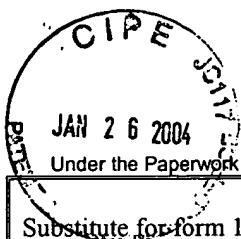
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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Application Number 09/663,659

Filing Date 9/15/2000

First Named Inventor: Malcolm G. Smith, Sr.

Examiner: Nowlin, April A. GROUP: 2876

Sheet

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of

14

Attorney Docket Number

ULT-005-2C2P

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cited No. <sup>1</sup>	Document Number Number - Kind Code <sup>2,3</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	B068	US-5,321,243	6/14/1994	Groves et al.	
	B069	US-5,336,871	10/9/1994	Colgate Jr.	
	B070	US-5,362,952	11/8/1994	Nair et al.	
	B071	US-5,396,369	5/7/1995	Deland Jr. et al.	
	B072	US-5,396,545	3/7/1995	Nair et al.	
	B073	US-5,397,886	3/14/1995	Mos et al.	
	B074	US-5,408,384	04/1995	Gannyo et al.	
	B075	US-5,410,136	4/25/1995	McIntire et al.	
	B076	US-5,421,618	6/6/1995	Okazaki et al.	
	B077	US-5,426,286	6/20/1995	Nair et al.	
	B078	US-5,431,746	7/11/1995	Manning et al.	
	B079	US-5,452,143	9/19/1995	Kamagami	
	B080	US-5,466,918	11/14/1995	Ray et al.	
	B081	US-5,480,685	1/2/1996	Suzuki et al.	

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**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

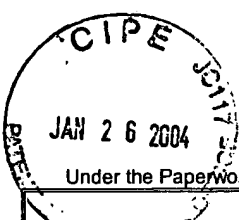
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Application Number 09/663,659

Filing Date 9/15/2000

First Named Inventor: Malcolm G. Smith, Sr.

Examiner: Nowlin, April A. GROUP: 2876

Sheet 7 of 14 Attorney Docket Number ULT-005-2C2P

**U.S. PATENT DOCUMENTS**

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	B082	US-5,509,083	4/16/1996	Abtahi et al.	
	B083	US-5,521,774	5/28/1996	Parks et al.	
	B084	US-5,530,232	6/25/1996	Taylor	
	B085	US-5,535,078	7/9/1996	Warwick	
	B086	US-5,557,089	9/17/1996	Hall et al.	
	B087	US-5,559,885	9/24/1996	Drexler et al.	
	B088	US-5,588,763	12/31/1996	Nubson et al.	
	B089	US-5,598,474	1/28/1997	Johnson	
	B090	US-5,609,253	3/11/1997	Goade, Sr.	
	B091	US-5,612,526	3/18/1997	Oguchi et al.	
	B092	US-5,637,174	6/10/1997	Field et al.	
	B093	US-5,679,942	10/21/1997	Toyama	

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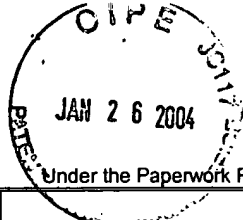
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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				Application Number	09/663,659
				Filing Date	9/15/2000
				First Named Inventor:	Malcolm G. Smith, Sr.
				Examiner: Nowlin, April A.	GROUP: 2876
Sheet	8	of	14	Attorney Docket Number	ULT-005-2C2P

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	B094	US-5,679,945	10/21/1997	Renner et al.	
	B095	US-5,696,369	12/1997	Watanabe	
	B096	US-5,698,839	12/17/1997	Jagielinski	
	B097	US-5,713,406	2/3/1998	Drury	
	B098	US-5,714,747	2/3/1998	West et al.	
	B099	US-5,723,033	3/3/1998	Weiss	
	B100	US-5,734,154	3/31/1998	Jachimowicz et al.	
	B101	US-5,738,945	4/14/1998	Lal et al.	
	B102	US-5,748,737	5/5/1998	Daggar	
	B103	US-5,756,220	5/1998	Hoshino et al.	
	B104	US-5,763,862	6/9/1998	Jachimowicz et al.	
	B105	US-5,770,942	6/23/1998	Tagchi	
	B106	US-5,777,306	7/7/1998	Masuda	

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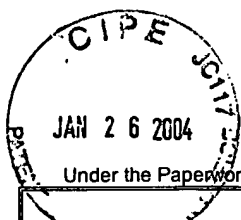
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(Use as many sheets as necessary)

Application Number	09/663,659
Filing Date	9/15/2000
First Named Inventor:	Malcolm G. Smith, Sr.
Examiner: Nowlin, April A.	GROUP: 2876

Sheet	9	of	14	Attorney Docket Number	ULT-005-2C2P
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	B107	US-5,789,733	8/4/1998	Jachimowicz et al.	
	B108	US-5,801,368	9/1998	Hayashi et al.	
	B109	US-5,825,393	10/20/1998	Kocznar et al.	
	B110	US-5,828,053	10/27/1998	Kinugasa	
	B111	US-5,834,756	11/10/1998	Gutman et al.	
	B112	US-5,843,565	12/1/1998	Davies et al.	
	B113	US-5,844,218	12/1/1998	Kawan et al.	
	B114	US-5,844,230	12/1/1998	Lalonde	
	B115	US-5,851,688	12/22/1998	Chen et al.	
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	B120	US-5,862,174	1/19/1999	Yokota et al.	

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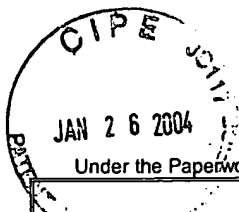
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Application Number

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Examiner: Nowlin, April A.

GROUP: 2876

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	B121	US-5,866,891	2/2/1999	Fujimoto et al.	
	B122	US-5,869,823	2/9/1999	Bublitz et al.	
	B123	US-5,880,445	3/9/1999	Mori et al.	
	B124	US-5,883,377	3/16/1999	Chapin, Jr.	
	B125	US-5,884,271	3/1999	Pitroda	
	B126	US-5,886,333	3/1999	Miyake	
	B127	US-5,889,273	3/1999	Goto	
	B128	US-5,895,903	4/1999	Abe et al.	
	B129	US-5,895,909	4/1999	Yoshida	
	B130	US-5,898,612	4/1999	Chen et al.	
	B131	US-5,901,012	5/1999	Ishida	
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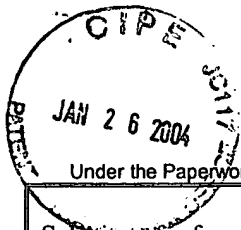
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Application Number 09/663,659

Filing Date 9/15/2000

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Sheet 11 of 14

Attorney Docket Number ULT-005-2C2P

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	B133	US-5,941,375	8/1999	Kamens et al.	
	B134	US-5,979,774	11/1999	Urushibata	
	B135	US-5,997,042	12/1999	Blank	
	B136	US-6,079,621	6/2000	Vardanyan et al.	
	B137	US-6,116,655	9/2000	Thouin et al.	
	B138	US-6,131,816	10/2000	Smith, Sr.	
	B139	US-6,196,047	3/2001	Carnegie et al.	
	B140	US-6,254,713	7/2001	Riehle	
	B141	US-6,268,919	7/2001	Meeks et al.	
	B142	US-6,301,068	10/2001	Ionescu	

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Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Cntry Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Figures Appear	T <sup>6</sup>

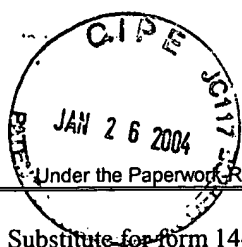
**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

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Substitute for form 1449A/PTO

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STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Application Number 09/663,659

Filing Date 9/15/2000

First Named Inventor: Malcolm G. Smith, Sr.

Examiner: Nowlin, April A. GROUP: 2876

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of

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Attorney Docket Number

ULT-005-2C2P

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cited No. <sup>1</sup>	Document Number Number - Kind Code <sup>2(f) known</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	B143	US-6,311,893	11/2001	Liu et al.	
	B144	US-6,378,037	4/2002	Hall	
	B145	US-6,398,114	6/2002	Nishikawa et al.	
	B146	US-D264,853	6/1982	Scavino et al.	
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	B150	US-D408,377	4/20/1999	Ferchau et al.	
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	B153	US-D429,733	8/2000	Jones et al.	
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	B157	FR 2505523	12/11/1982	Widmer MJF		

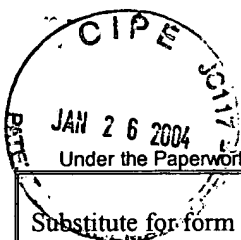
**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**Bhushan, Bharat, *Tribology and Mechanics of Magnetic Storage Devices*, New York: Springer-Verlag, pp. 599, 629-638

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	B158	US-5,041,922	08/20/1991	Wood et al.	
	B159	US-5,055,155	10/08/1991	Crotty et al.	
	B160	US-5,101,097	03/31/1992	Conant	
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	B163	US-5,191,198	03/02/1993	Do	
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	B166	US-5,217,056	06/08/1993	Ritter	
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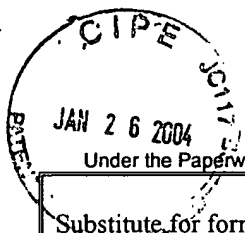
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	B172	US-5,880,454	03/09/1999	Monicault	
	B173	US-5,621,583	04/15/1997	Parks et al.	
	B174	US-5,739,975	04/14/1998	Parks et al.	
	B175	US-6,430,114	08/06/2002	Wang et al.	
	B176	US-6,677,105	01/13/2004	Wang et al.	

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